

RECEIVED
CENTRAL FAX CENTER

JUN 13 2006

DILLON & YUDELL LLP
ATTORNEYS AT LAW

USPTO FACSIMILE TRANSMITTAL SHEET

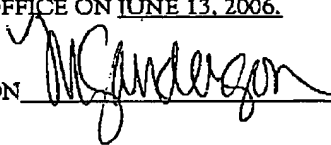
TO:	Examiner Arthur D. Duran	FROM:	Matthew W. Baca, Reg. No. 42,277
ORGANIZATION:	US Patent and Trademark Office	DATE:	June 13, 2006
ART UNIT:	3622	CONFIRMATION NO.:	
		TOTAL NO. OF PAGES INCLUDING COVER:	19
FAX NUMBER:	571-273-8300	APPLICATION SERIAL NO.:	09/560,392
ENCLOSED:	Appeal Brief	ATTORNEY DOCKET NO.:	AUS000029US1

☒ URGENT ☐ FOR REVIEW ☐ PLEASE COMMENT ☐ PLEASE REPLY ☐ PLEASE RECYCLE

NOTES/COMMENTS:

CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 C.F.R. § 1.8(A)I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING FACSIMILE TRANSMITTED TO
THE U.S. PATENT AND TRADEMARK OFFICE ON JUNE 13, 2006.

SIGNATURE OF MICHELLE SANDERSON



This fax from the law firm of Dillon & Yudell LLP contains information that is confidential or privileged, or both. This information is intended only for the use of the individual or entity named on this fax cover letter. Any disclosure, copying, distribution or use of this information by any person other than the intended recipient is prohibited. If you have received this fax in error, please notify us by telephone immediately at 512.343.6116 so that we can arrange for the retrieval of the transmitted documents at no cost to you.

8911 N. CAPITAL OF TEXAS HWY., SUITE 2110, AUSTIN, TEXAS 78759
512.343.6116 (V) • 512.343.6446 (F) • DILLONYUDELL.COM

P. 002
RECEIVED
CENTRAL FAX CENTER

JUN 13 2006

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES**

IN RE APPLICATION OF:	§	ATTY. DOCKET NO.:	AUS000029US1
	§		
MICHAEL WAYNE BROWN, ET AL	§	EXAMINER:	ARTHUR D. DURAN
	§		
SERIAL NO.:	§		
09/560,392	§		
	§		
FILED:	§	ART UNIT:	3622
APRIL 28, 2000	§		
	§		
FOR:	§		
MANAGING CONSUMER	§		
PREFERENCES WITH A PORTABLE	§		
DATA PROCESSING SYSTEM	§		

APPEAL BRIEF UNDER 37 C.F.R. 1.192

Mail Stop Appeal Briefs - Patents
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

This Appeal Brief is submitted in support of an Appeal of the Examiner's final rejection of claims 45-49, 51-55, and 57-59. A Notice of Appeal in this case was filed and received by the patent office on April 13, 2006. Please charge the fee of \$500.00 due under 37 C.F.R. § 1.17(c), as well as any additional required fees, to IBM Deposit Account No. 09-0447.

Certificate of Transmission/Mailing

I hereby certify that this correspondence is being facsimile transmitted to the USPTO at 571-273-8300 or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on the date shown below.

Typed or Printed Name: Michelle Sanderson

Date: June 13, 2006

Signature:

06/14/2006 TL0111 00000058 090447 09560392
01 FC:1402 500.00 DA

AUS000029US1

Appeal Brief
Page 1

Serial No. 09/560,392

RECEIVED
CENTRAL FAX CENTER

JUN 13 2006

REAL PARTY IN INTEREST

The real party in interest in the present Application is International Business Machines Corporation, the Assignee of the present application as evidenced by the Assignment set forth at reel 010773, frame 0646 et. seq. of the USPTO assignment records.

RELATED APPEALS AND INTERFERENCES

There are no other appeals or interferences known to Appellants, the Appellants' legal representative, or assignee, which directly affect or would be directly affected by or have a bearing on the Board's decision in the pending appeal.

STATUS OF CLAIMS

Claims 45-49, 51-55, and 57-59 stand finally rejected by the Examiner, as noted in the final Office Action dated December 13, 2005. The rejection of Claims 45-49, 51-55, and 57-59 is appealed.

STATUS OF AMENDMENTS

Appellants' Amendment B filed on November 30, 2005 was entered by the Examiner as indicated in the final Office Action. No amendments to the claims have been proposed or entered subsequent to the Amendment B.

SUMMARY OF THE CLAIMED SUBJECT MATTER

Appellants' invention may be implemented as a method, apparatus, or a computer program product for electronically registering a user with server systems associated with consumer providers such as retailers. As explained in Appellants' specification on page 5, lines 8-21 and page 6, lines 11-15, the proposed invention enables utilization of a portable computer to manage exchange and processing of consumer preferences to potentially multiple, diverse retailer systems.

Specifically, Appellants' claim 45 recites a method for "automatically electronically registering a user" (see specification page 15, lines 8-15, describing with reference to **FIG. 2**, use

of a portable computer system 10 to transmit user preferences to retail servers 80a-80n which compare the preferences with products and services offered by corresponding retailers). The method comprises "generating a request to transmit a plurality of profile elements to a selected server system from among a plurality of server systems" and "transmitting said request to a portable computer system in response to a determination that said portable computer system is within a particular proximity to said plurality of server systems" (see specification page 32, lines 14-27, describing with reference to FIG. 3, a user profile 60 stored within portable computer 10 including elements such as name, sex, account information, etc.; page 35 lines 20-22, describing with reference to FIG. 3, portable computer system 10 receiving a registration request from server system 80; page 41, lines 4-21, describing with reference to FIG. 4, a retailer server system control method including steps 108, 110, 114, and 116 in which a generated registration request is sent to a portable computer system; page 43, lines 26-29, describing with reference to FIG. 5, a portable computer control method including a step 156 of determining whether a transmit request is received by a portable computer; page 43, lines 21-25 and page 44, lines 3-36, describing with reference to FIG. 5, a portable computer control method including steps 156 and 160 in which user profile data is transmitted to a selected server system provided the server system is within a proximate distance from the portable computer.

Following the steps of generating and transmitting, claim 45 recites "receiving a user profile comprising said plurality of profile elements in a particular transmittable data format at said selected server system from said portable computer system," (see page 40, lines 24-27, describing with reference to FIG. 4, a retailer server system control method including a step 102 of determining whether profile information was received from a portable computer system; page 41, lines 4-21, describing with reference to FIG. 4, a retailer server system control method including steps 108, 110, 114, and 116 in which a generated registration request is sent to a portable computer system; page 22, lines 17-20, describing XML as transmittable data format; page 43, lines 21-25 and page 44, lines 3-36, describing with reference to FIG. 5, a portable computer control method including steps 156 and 160 in which user profile data is transmitted to a selected server system provided the server system is within a proximate distance from the portable computer. Further modifying the step of "receiving a user profile," claim 45 recites "wherein said selected server system is identified at said portable computer system utilizing data within said plurality of profile elements specifying a consumer preference in response to a

receipt of said request at said portable computer system, said user profile is associated with a particular user of said portable computer system,” (see specification page 321, line 30 through page 32, line 16, describing with reference to FIG. 3, consumer preferences associated with a client which indicate provider preferences such as decorator preferences; page 35 lines 20-24, describing with reference to FIG. 3, explaining preference coordination in which consumer preferences are used to select retailer system to register with). The step of “receiving a user profile” is further modified by “each of said plurality of server systems is respectively associated with one of a plurality of consumer providers” (see page 15, lines 9-11, with reference to FIG. 2, referring to “retailer” server systems; page 50, original claim 1, lines 7-8).

Claim 45 further recites “registering said particular user with a consumer provider of said plurality of consume providers in response to a receipt of said user profile at said selected server system, wherein said consumer provider is associated with said selected server system” (see page 24, line 20 through page 25, line 12, describing with reference to FIG. 3, server system 80 filling an electronic registration for a user having a specified profile and various aspects of registration processing; page 38, lines 1-6, describing with reference to FIG. 3, an exemplary user registration of a user in association with a ski resort provider).

Appellants’ claim 51 recites a system for “automatically electronically registering a user” (see specification page 15, lines 8-15, describing with reference to FIG. 2, use of a portable computer system 10 to transmit user preferences to retail servers 80a-80n which compare the preferences with products and services offered by corresponding retailers). The system comprises “means for generating a request to transmit a plurality of profile elements to a selected server system from among a plurality of server systems” and “means for transmitting said request to a portable computer system in response to a determination that said portable computer system is within a particular proximity to said plurality of server systems” (see specification page 32, lines 14-27, describing with reference to FIG. 3, a user profile 60 stored within portable computer 10 including elements such as name, sex, account information, etc.; page 35 lines 20-22, describing with reference to FIG. 3, portable computer system 10 receiving a registration request from server system 80; page 41, lines 4-21, describing with reference to FIG. 4, a retailer server system control method including steps 108, 110, 114, and 116 in which a generated registration request is sent to a portable computer system; page 43, lines 26-29, describing with reference to FIG. 5, a portable computer control method including a step 156 of determining

whether a transmit request is received by a portable computer; page 43, lines 21-25 and page 44, lines 3-36, describing with reference to **FIG. 5**, a portable computer control method including steps 156 and 160 in which user profile data is transmitted to a selected server system provided the server system is within a proximate distance from the portable computer.

Claim 51 further recites “means for receiving a user profile comprising said plurality of profile elements in a particular transmittable data format at said selected server system from said portable computer system,” (see page 40, lines 24-27, describing with reference to **FIG. 4**, a retailer server system control method including a step 102 of determining whether profile information was received from a portable computer system; page 41, lines 4-21, describing with reference to **FIG. 4**, a retailer server system control method including steps 108, 110, 114, and 116 in which a generated registration request is sent to a portable computer system; page 22, lines 17-20, describing XML as transmittable data format; page 43, lines 21-25 and page 44, lines 3-36, describing with reference to **FIG. 5**, a portable computer control method including steps 156 and 160 in which user profile data is transmitted to a selected server system provided the server system is within a proximate distance from the portable computer. Further modifying the means for “receiving a user profile,” claim 51 recites “wherein said selected server system is identified at said portable computer system utilizing data within said plurality of profile elements specifying a consumer preference in response to a receipt of said request at said portable computer system, said user profile is associated with a particular user of said portable computer system,” (see specification page 321, line 30 through page 32, line 16, describing with reference to **FIG. 3**, consumer preferences associated with a client which indicate provider preferences such as decorator preferences; page 35 lines 20-24, describing with reference to **FIG. 3**, explaining preference coordination in which consumer preferences are used to select retailer system to register with). The means for “receiving a user profile” is further modified by “each of said plurality of server systems is respectively associated with one of a plurality of consumer providers” (see page 15, lines 9-11, with reference to **FIG. 2**, referring to “retailer” server systems; page 50, original claim 1, lines 7-8).

Claim 51 further recites “means for registering said particular user with a consumer provider of said plurality of consume providers in response to a receipt of said user profile at said selected server system, wherein said consumer provider is associated with said selected server system” (see page 24, line 20 through page 25, line 12, describing with reference to **FIG. 3**,

server system 80 filling an electronic registration for a user having a specified profile and various aspects of registration processing; page 38, lines 1-6, describing with reference to FIG. 3, an exemplary user registration of a user in association with a ski resort provider).

Appellants' claim 57 recites a computer program product residing on a computer usable medium and having computer readable program code means encoded therein for "automatically electronically registering a user" (see specification page 15, lines 8-15, describing with reference to FIG. 2, use of a portable computer system 10 to transmit user preferences to retail servers 80a-80n which compare the preferences with products and services offered by corresponding retailers). The program product comprises "program code means for generating a request to transmit a plurality of profile elements to a selected server system from among a plurality of server systems" and "program code means for transmitting said request to a portable computer system in response to a determination that said portable computer system is within a particular proximity to said plurality of server systems" (see specification page 32, lines 14-27, describing with reference to FIG. 3, a user profile 60 stored within portable computer 10 including elements such as name, sex, account information, etc.; page 35 lines 20-22, describing with reference to FIG. 3, portable computer system 10 receiving a registration request from server system 80; page 41, lines 4-21, describing with reference to FIG. 4, a retailer server system control method including steps 108, 110, 114, and 116 in which a generated registration request is sent to a portable computer system; page 43, lines 26-29, describing with reference to FIG. 5, a portable computer control method including a step 156 of determining whether a transmit request is received by a portable computer; page 43, lines 21-25 and page 44, lines 3-36, describing with reference to FIG. 5, a portable computer control method including steps 156 and 160 in which user profile data is transmitted to a selected server system provided the server system is within a proximate distance from the portable computer.

Claim 57 further recites "program code means for receiving a user profile comprising said plurality of profile elements in a particular transmittable data format at said selected server system from said portable computer system," (see page 40, lines 24-27, describing with reference to FIG. 4, a retailer server system control method including a step 102 of determining whether profile information was received from a portable computer system; page 41, lines 4-21, describing with reference to FIG. 4, a retailer server system control method including steps 108, 110, 114, and 116 in which a generated registration request is sent to a portable computer

system; page 22, lines 17-20, describing XML as transmittable data format; page 43, lines 21-25 and page 44, lines 3-36, describing with reference to FIG. 5, a portable computer control method including steps 156 and 160 in which user profile data is transmitted to a selected server system provided the server system is within a proximate distance from the portable computer. Further modifying the program code means for "receiving a user profile," claim 57 recites "wherein said selected server system is identified at said portable computer system utilizing data within said plurality of profile elements specifying a consumer preference in response to a receipt of said request at said portable computer system, said user profile is associated with a particular user of said portable computer system," (see specification page 321, line 30 through page 32, line 16, describing with reference to FIG. 3, consumer preferences associated with a client which indicate provider preferences such as decorator preferences; page 35 lines 20-24, describing with reference to FIG. 3, explaining preference coordination in which consumer preferences are used to select retailer system to register with). The program code means for "receiving a user profile" is further modified by "each of said plurality of server systems is respectively associated with one of a plurality of consumer providers" (see page 15, lines 9-11, with reference to FIG. 2, referring to "retailer" server systems; page 50, original claim 1, lines 7-8).

Claim 57 further recites "program code means for registering said particular user with a consumer provider of said plurality of consume providers in response to a receipt of said user profile at said selected server system, wherein said consumer provider is associated with said selected server system" (see page 24, line 20 through page 25, line 12, describing with reference to FIG. 3, server system 80 filling an electronic registration for a user having a specified profile and various aspects of registration processing; page 38, lines 1-6, describing with reference to FIG. 3, an exemplary user registration of a user in association with a ski resort provider).

GROUND OF REJECTION TO BE REVIEWED ON APPEAL

The rejection of claims 45-49, 51-55, and 57-59 under 35 U.S.C. §103(a) as being unpatentable over United States Patent No. 6,823,327 issued to Klug et al., (hereinafter, *Klug*) in view of United States Patent No. 6,915,271 issued to Meyer et al., (hereinafter, *Meyer*) and further in view of United States Patent No. 6,055,573 issued to Gardenswartz, (hereinafter, *Gardenswartz*) is to be reviewed on Appeal.

ARGUMENT

A. The rejection of claims 45, 51, and 57 under 35 U.S.C. §103(a) as being unpatentable over *Klug* in view of *Meyer* and in further view of *Gardenswartz* is not well founded and should be reversed.

The combination of *Klug*, *Meyer*, and *Gardenswartz* does not disclose each claimed feature of claims 45, 51, and 57

Regarding independent claim 45, representative also of independent claims 51 and 57, the combination of *Klug*, *Meyer*, and *Gardenswartz* fails to disclose or suggest a method for automatically registering a user that includes, "generating a request to transmit a plurality of profile elements to a selected server system from among a plurality of server systems" and "transmitting said request to a portable computer system in response to a determination that said portable computer system is within a particular proximity to said plurality of server systems."

On page 5, the final Office Action incorrectly asserts that Fig. 1 of *Klug* discloses generating a request to transmit a plurality of profile elements to a selected server system from among a plurality of server systems." Fig. 1 of *Klug* is a block diagram of a web site registration information processing system depicted as generally functioning within a networked environment. *Klug*'s Fig. 1 depicts various World Wide Web (WWW) entities including a client node 108 having a resident browser 120 and interconnected via WWW 104 to a registrar website 100 and third party websites 116. Nothing in Fig. 1 itself or its description beginning at col. 4, line 20, discloses or suggests a step in which registrar website 120 or any other equivalent of the claimed requesting "server system" generates or transmits a request to transmit multiple profile elements in accordance with the proximity of a portable computer to multiple servers as expressly required by the claim language.

Conceding that *Klug* fails to disclose utilizing proximity to determine whether or not to communicate with a user, page 8, the final Office Action asserts that *Meyer* discloses utilizing location/geographic information to determine whether or not to communicate with a user. Pages 8-10 of the Office Action list examples in which *Meyer* describes various uses of location and geographic location information in a system for distributing promotional incentives over a network. Having closely reviewed the cited passages, Appellants contend that while *Meyer* does disclose utilizing location information in various ways (such as storing location information relating to a customer's shopping habits), nothing in *Meyer* or the other references discloses using proximity of a portable computer system to a plurality of server systems as a determining factor in whether to transmit a request to transmit a plurality of profile elements.

With continued reference to the grounds for rejecting claim 45 (and similarly for claims 51 and 57), Appellants contend that the combination of *Klug*, *Meyer*, and *Gardenswartz* fails to disclose or suggest the foregoing steps of "generating a request to transmit a plurality of profile elements to a selected server system from among a plurality of server systems" and transmitting this request to a portable computer system, "wherein said selected server system is identified at said portable computer system utilizing data within said plurality of profile elements specifying a consumer preference" as further recited in the claims. Page 5 of the final Office Action cites *Klug*, col. 2, line 65 – col. 3, line 7 as disclosing determining at the user computer based on user preferences which server to communicate with. Appellants note that col. 2, line 65 – col. 3, line 7 is limited to a very general description of possible multiple registrations in which a user requests automatic registration simultaneously. Nothing in this passage, Fig. 1 or elsewhere does *Klug* or *Meyer* or *Gardenswartz* disclose or suggest a registration process in which a server generates and transmits a request to a portable computer system to transmit multiple profile elements that specify consumer preferences as required by the claim language.

B. The rejection of claims 46-49, 52-55, and 58-59 under 35 U.S.C. §103(a) as being unpatentable over *Klug* in view of *Meyer* and in further view of *Gardenswartz* is not well founded and should be reversed

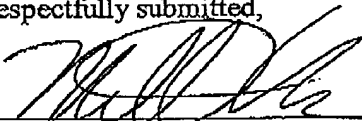
Appellants do not concede that the combination of *Klug*, *Meyer*, and *Gardenswartz* actually teaches or suggests any of the features of these dependent claims; however, these claims are directly or indirectly dependent on the independent claims 45, 51, and 57 which, as

contended above by Appellants, have been incorrectly rejected under the references. By extension, the rejections of claims 46-49, 52-55, and 58-59 are not well founded and should be reversed.

CONCLUSION

Appellants have pointed out with specificity the manifest error in the Examiner's rejections, and the claim language that renders the invention patentable over the combination of references. Appellants, therefore, respectfully requests that this case be remanded to the Examiner with instructions withdraw the present claim rejections.

Respectfully submitted,



Matthew W. Baca

Reg. No. 42,277

DILLON & YUDELL LLP

8911 N. Capital of Texas Highway
Suite 2110

Austin, Texas 78759

512-343-6116

ATTORNEY FOR APPELLANTS

CLAIMS APPENDIX

1-44. (Canceled)

45. A method for automatically electronically registering a user, said method comprising:
generating a request to transmit a plurality of profile elements to a selected server system
from among a plurality of server systems;
transmitting said request to a portable computer system in response to a determination
that said portable computer system is within a particular proximity to said
plurality of server systems;
receiving a user profile comprising said plurality of profile elements in a particular
transmittable data format at said selected server system from said portable
computer system, wherein
said selected server system is identified at said portable computer system utilizing
data within said plurality of profile elements specifying a consumer
preference in response to a receipt of said request at said portable
computer system,
said user profile is associated with a particular user of said portable computer
system, and
each of said plurality of server systems is respectively associated with one of a
plurality of consumer providers; and
registering said particular user with a consumer provider of said plurality of consume
providers in response to a receipt of said user profile at said selected server
system, wherein said consumer provider is associated with said selected server
system.
46. The method for automatically electronically registering a user according to claim 45,
wherein said registering comprises:
inserting each of said plurality of profile elements respectively into a specified plurality
of electronic registration elements required for electronic registration at said
selected server system; and

transmitting a registration indicator for said particular user from said selected server system to said portable computer system in said particular transmittable data format.

47. The method for automatically electronically registering a user according to claim 46, said method further comprising:

in response to a receipt of said registration indicator at said selected server system,
retrieving an electronic registration for said particular user.

48. The method for automatically electronically registering a user according to claim 45, said method further comprising:

automatically filtering a plurality of products and services offered by said consumer provider according to said user profile for said particular user; and
transmitting a specified offering from among said plurality of products and services to said portable computer system for said particular user.

49. The method for automatically electronically registering a user according to claim 45, wherein said particular transmittable data format comprises an extensible mark-up language data format.

50. (Canceled)

51. A system for automatically electronically registering a user, said system comprising:
means for generating a request to transmit a plurality of profile elements to a selected server system from among a plurality of server systems;
means for transmitting said request to a portable computer system in response to a determination that said portable computer system is within a particular proximity to said plurality of server systems;
means for receiving a user profile comprising said plurality of profile elements in a particular transmittable data format at said selected server system from said portable computer system, wherein
said selected server system is identified at said portable computer system utilizing data within said plurality of profile elements specifying a consumer

preference in response to a receipt of said request at said portable computer system,
said user profile is associated with a particular user of said portable computer system, and
each of said plurality of server systems is respectively associated with one of a plurality of consumer providers; and
means for registering said particular user with a consumer provider of said plurality of consumer providers in response to a receipt of said user profile at said selected server system, wherein said consumer provider is associated with said selected server system.

52. The system for automatically electronically registering a user according to claim 51, wherein said means for registering comprises:

means for inserting each of said plurality of profile elements respectively into a specified plurality of electronic registration elements required for electronic registration at said selected server system; and
means for transmitting a registration indicator for said particular user from said selected server system to said portable computer system in said particular transmittable data format.

53. The system for automatically electronically registering a user according to claim 52, said system further comprising:

means for retrieving an electronic registration for said particular user, in response to a receipt of said registration indicator at said particular server system.

54. The system for automatically electronically registering a user according to claim 51, said system further comprising:

means for automatically filtering a plurality of products and services offered by said consumer provider according to said user profile for said particular user; and
means for transmitting a specified offering from among said plurality of products and services to said portable computer system for said particular user.

55. The system for automatically electronically registering a user according to claim 51, wherein said particular transmittable data comprises an extensible mark-up language data format.

56. (Canceled)

57. A computer program product residing on a computer usable medium and having computer readable program code means encoded therein for automatically electronically registering a user, said computer program product comprising:

program code means for generating a request to transmit a plurality of profile elements to a selected server system from among a plurality of server systems;

program code means for transmitting said request to a portable computer system in response to a determination that said portable computer system is within a particular proximity to said plurality of server systems;

program code means for receiving a user profile comprising said plurality of profile elements in a particular transmittable data format at said selected server system from said portable computer system, wherein

said selected server system is identified at said portable computer system utilizing data within said plurality of profile elements specifying a consumer preference in response to a receipt of said request at said portable computer system,

said user profile is associated with a particular user of said portable computer system, and

each of said plurality of server systems is respectively associated with one of a plurality of consumer providers; and

program code means for registering said particular user with a consumer provider of said plurality of consume providers in response to a receipt of said user profile at said selected server system, wherein said consumer provider is associated with said selected server system.

58. The computer program product according to claim 57, wherein said program code means for registering comprises:

program code means for inserting each of said plurality of profile elements respectively into a specified plurality of electronic registration elements required for electronic registration at said selected server system; and

program code means for transmitting a registration indicator for said particular user from said selected server system to said portable computer system in said particular transmittable data format.

59. The computer program product according to claim 58, said computer program product further comprising:

program code means for retrieving an electronic registration for said particular user, in response to a receipt of said registration indicator at said particular server system.

60-72. (Canceled)

EVIDENCE APPENDIX

Other than the Office Action(s) and reply(ies) already of record, no additional evidence has been entered by Appellants or the Examiner in the above-identified application which is relevant to this appeal.

RELATED PROCEEDINGS APPENDIX

There are no related proceedings as described by 37 C.F.R. §41.37(c)(1)(x) known to Appellants, Appellants' legal representative, or assignee.